

28 September 1981

MEMORANDUM FOR: Director, National Foreign Assessment Center
Deputy Director for Operations
Deputy Director for Science and Technology
General Counsel
Inspector General
Comptroller

STAT FROM: [redacted]
Chief, Regulations Control Division

STAT SUBJECT: Proposed [redacted] Office of the Information Handling
Systems Architect, and Proposed [redacted] Policy and
Procedures for Management for Information Handling
Systems, DRAFTS A (Job #9710 and 9711)

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FOR YOUR INFORMATION:

STAT 1. Proposed [redacted] were initiated by the
Information Handling Systems Architect. These proposals were
approved by the DDCI at the 24 July 1981 EXCOM meeting.

STAT 2. [redacted] states the mission and functions for the Office
of the Information Handling Systems Architect.

STAT 3. [redacted] sets forth Agency policy regarding management
responsibility for the acquisition of new or enhanced information
handling systems capabilities.

STAT 4. Since the DDCI has approved the subject proposals at the
EXCOM meeting, they are sent to you for your information only. We
plan to send [redacted] forward for approval to publish on
1 October 1981. Please direct any questions or comments to the
undersigned before that date.

[redacted]

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Attachments:

- A. Concurrence Sheets (OGC)
- B. Proposed [redacted]
- C. Proposed [redacted]

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cc: AO/DCI OEEO OL
SSA/DDA OC OMS
DIS ODP OS
OPP OF OTE
OP OIS/RMD

IMMEDIATE

Form 3-65 160c

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IIQ. INSTRUCTION SHEET

REMOVE			INSERT			EXPLANATION
REG. NOS.	PAGE NOS.	DATE	REG. NOS.	PAGE NOS.	DATE	
						<p>[] is added to the regulations to include the mission and functions statement for the Office of the Information Handling Systems Architect.</p>

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ORGANIZATION



m. OFFICE OF THE INFORMATION HANDLING SYSTEMS ARCHITECT

(1) MISSION. The Information Handling Systems Architect is responsible for performing Agency-wide planning for information handling systems matters with particular emphasis on application of technology.

(2) FUNCTIONS. The Information Handling Systems Architect shall:

(a) Publish strategic goals and objectives for purpose of program guidance.

(b) Monitor progress toward goals and objectives and report status of information handling systems to the Executive Committee (incorporates ADP review).

(c) Coordinate all agency information handling systems architecture.
/A/

(d) Consolidate requirements for information handling systems to maximize commonality and minimize unique development.

(e) Conduct design reviews during conceptual design phase.

(f) Maintain technology forecast and report trends to management.

(g) Act as Agency focal point to Intelligence Community on matters of information handling systems.
/ the /

(h) Recommend ~~system~~ design to fulfill architecture.
/systems/

(i) Initiate studies and analyses for the purpose of identifying ways to improve effectiveness and efficiency of information handling systems.

(j) Maintain a current data base on the status of information handling systems and their interrelationships.

~~(k) ORGANIZATION - See organization chart, Figure 1~~

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MANAGEMENT

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POLICY AND PROCEDURES FOR MANAGEMENT FOR INFORMATION HANDLING SYSTEMS

Reference:

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1. PURPOSE

This notice sets forth Agency policy regarding management responsibilities for the acquisition of new or enhanced information handling systems capabilities.

2. APPLICABILITY AND SCOPE

These provisions for information handling systems apply to automated or other clearly identifiable processes used for creation, movement, use, storage, retrieval, or dissemination of intelligence and management information. Included are ADP hardware and software systems, communications systems, terminals, word-processing, printers and copiers, image processing, and display systems.

3. POLICY

a. GENERAL

Information handling systems acquisitions shall be reviewed and approved at decision milestones by appropriate management levels. Systems of extraordinary cost, risk, or interest shall be reviewed by the Executive Committee (EXCOM), the Information Handling Systems Architect (IHSA), and the Program Management Component who shall support the EXCOM review process. Information handling systems falling below the EXCOM review threshold, but nevertheless important in the context of the Agency Information Systems Architecture and Planning, may be reviewed by the IHSA at decision milestones.

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b. SPECIFIC

For purposes of management and coordination there are three classes of information handling systems, determined by investment cost thresholds. Class I and II systems shall comply with the procedures, standards, and documentation requirements for major programs. Class III programs shall comply with the procedures, standards, and documentation requirements for minor programs.

(1) Class I information handling systems shall be reviewed and approved at decision milestones by the EXCOM. Any information handling system, or any significant revision of an existing system, meeting any one of the following criteria shall be designated a Class I information handling system:

- (a) Has anticipated acquisition costs in excess of \$8 million during the span from program initiation to the time the system becomes operational.
- (b) Has estimated costs in excess of \$2 million in any year.
- (c) Is designated as being of special interest or considered to have Agencywide or Community importance. Nominations to the EXCOM can be made by any of the EXCOM principals or the IHSA.

(2) Class II information handling systems shall be reviewed and approved at decision milestones by the Deputy Director responsible for the system. Any information handling system, or any significant revision of an existing system, meeting any of the following criteria shall be designated a Class II information handling system:

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- (a) Has anticipated acquisition costs in excess of \$1 million during the year from program initiation to the time the system becomes operational.
 - (b) Has estimated acquisition costs in excess of \$250,000 in any year.
 - (c) Is designated as being of special interest.
- (3) Class III information handling systems shall be reviewed and approved as the responsible Deputy Director may direct. In general, it is anticipated that he will delegate that authority to the next lower level of management. Any information handling system, or any significant revision of a system which is in cost or importance less than Class II is a Class III information handling system.

c. MILESTONE DECISIONS

Three milestone decisions are defined for acquisition of major information handling systems.

°Milestone 0 Decision -- Approval of Mission Need Statement (MNS), approval of the budget and schedule, and authorization to proceed to the next program phase. The MNS shall define the need for the system, and shall be accompanied by Preliminary System Requirements, acquisition strategy, schedule goals, and the total and annual investment of resources estimated. The next program phase for a simple package (no program development investment; e.g., a computer with standard support software) is the actual procurement, or for a complex system development, the next phase is the Concept Development Phase.

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°Milestone 1 Decision -- Approval of the System Design Concept (SDC), System Requirements (SR), and Program Development Plan (PDP); and authorization to proceed with the next program phase. For large complex systems, alternate concepts are to be explored and evaluated before settling on a chosen concept, the reasons for a particular selection are to be presented. Documentation at this stage shall include baseline SR, SDC, and a PDP. System requirements will be coordinated and presented by the IHSA. Cost and schedule goals are reassessed. Equipment acquisition plans are presented for approval. Acquisition of production status, commercial hardware will normally be executed pursuant to this approval or direction. Approved programs then proceed to the Preliminary Design Phase.

°Milestone 2 Decision -- Approval of the Preliminary Design and Revised Program Development. All acquisition programs, however phased, will have a single Preliminary Design Review (PDR) covering the entire program. This review is coordinated with the program's internal PDR so that issues arising as a result of the PDR process can be evaluated. At this milestone review the program cost, functionality, and schedule objectives, as defined and determined at the PDR, are reassessed. Approved programs then proceed to full-scale development.

At each decision milestone, guidance, and direction to the program are documented.

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At any point at which a major program deviation in cost or schedule goals of more than 10 percent is estimated, the IHSA will be notified.

4. PROCEDURES

- a. The IHSA will receive all documentation relevant to systems development for Class I and II information handling systems.

Included are such documents as:

- (1) Functional requirements.
- (2) Program acquisition plan.
- (3) Feasibility, analyses, and tradeoff studies.
- (4) System specification.
- (5) Management plan.
- (6) System functional specifications.
- (7) Interface control specifications.
- (8) System detailed design specifications.
- (9) System test and validation plan.
- (10) Periodic progress reports.

At least six months prior to Milestone 1 or 2 review of Class I and II information handling systems the program sponsor will notify the IHSA. For Class I information handling systems, the IHSA will coordinate and schedule an EXCOM review.

- b. The IHSA will appoint a member of the staff to coordinate with the program office concerning preparation for the milestone review. The program office will brief the IHSA office with respect to the program status for Class I and II systems. Questions which the office of the IHSA has with the project will be addressed to the project management. The intent is to resolve all the questions

that pertain to such matters as the project formulation, completeness of planning and design, interoperability, conformity with standards, and supportability prior to the milestone review.

Prior to the milestone review, the IHSA will prepare brief point papers covering any points of concern or disagreement relative to the information system's development. Approximately one week prior to the EXCOM milestone review of Class I systems, the IHSA will prebrief the EXCOM concerning unresolved issues and concerns. The project management will then brief the EXCOM on the system at the milestone review. The IHSA will then prepare a decision coordinating paper documenting the EXCOM guidance and direction to the project.

- c. For Class II systems, if the IHSA feels that there are significant architectural concerns, he may join the milestone review.

5. IHSA RESPONSIBILITIES

The Information Handling Systems review process compliments the budgeting process. Information handling systems decisions must fit into the affordability framework of the budget, and further, must fit into the Agency architecture and planning framework for information handling systems. The IHSA shall:

- a. Formulate overall architecture tenets for information handling systems.
- b. In conjunction with prospective users, conduct formal reviews of proposed information handling systems to:
 - (1) Determine compliance with architecture tenets.
 - (2) Validate functional requirements.
 - (3) Validate system concept.

- (4) Ensure that relevant interfaces are considered.
- (5) Validate information security of proposed design.
- c. Advise on relative priorities of information handling systems.
- d. Focus the issues for EXCOM reviews.
- e. Make an annual report to the EXCOM on the status of information handling systems in the Agency and advise EXCOM on information handling systems decisions.
- f. Be designated the individual for the Agency, to assure that architecture is either in compliance with Government-wide standards and procedures or that variations have senior management approval. Included is assuring Agency compliance with Federal Information Processing Standards, and granting waivers to these in accordance with delegated authorities and specified procedures.

B. R. INMAN
Admiral, U.S. Navy
Deputy Director of Central Intelligence

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